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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/005,479	01/12/1998	THOMAS MARK LEVERGOOD	OMI95-01A	2543

24573 7590 03/31/2004  
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EXAMINER

WINDER, PATRICE L

ART UNIT PAPER NUMBER

2155

DATE MAILED: 03/31/2004

38

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/005,479

Applicant(s)

LEVERGOOD ET AL.

Examiner

Patrice Winder

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 12 January 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 3,5-26,31-43,49-63,67-93,96-98,100-106 and 108-115 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 3,5-26,31-43,49-63,67-93,96-98,100-106 and 108-115 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### ***Response to Affidavit***

1. The affidavit filed on January 12, 2004 under 37 CFR 1.131 has been considered but is ineffective to overcome the Kahan reference.
2. The evidence submitted is insufficient to establish a reduction to practice of the invention in this country or a NAFTA or WTO member country prior to the effective date of the Kahan reference. There is not evidence submitted to support applicant's reduction to practice.

### ***Claim Rejections - 35 USC § 102***

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

4. Claims 3, 5-6, 13-15, 17-21, 23, 32, 35-38, 49-54, 56-63, 67-75, 77, 79-93, 101-102, 104, 106, 112-115 are rejected under 35 U.S.C. 102(a) as being anticipated by José Kahan, A capability-based authorization model for the World Wide Web (hereafter referred to as Kahan).

Regarding claim 3, Kahan taught a method of processing service requests from a client to a server system through a network (abstract, page 1) comprising:

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forwarding a service request from the client to the server system, wherein the communications between the client and server system are according to hypertext transport protocol (2.3 Consultation phase, pages 5-6);

returning a session identifier from the server system to the client, the client storing the session identifier for use in subsequent distinct requests to the server systems (Table 1, page 5); and

appending the stored session identifier to each of the subsequent distinct requests from the client to the server system (Table 1, page 5).

Regarding dependent claim 5, Kahan taught the session identifier includes a user identifier (Table 4, page 7).

Regarding dependent claim 6, Kahan taught the session identifier includes an expiration time for the session (Table 4, page 7).

Regarding dependent claim 13, Kahan taught the server system assigns the session identifier to an initial service request to the server system (Table 1, page 5).

Regarding dependent claim 14, Kahan taught the server system subjects the client to an authorization routine prior to issuing the session identifier (Table 1, page 5) and the session identifier is protected from forgery (Table 2, page 6).

Regarding dependent claim 15, Kahan taught plural servers including an authentication server which provides session identifier for service requests to multiple servers (2.1.1 Entities, authorization server, AUS, page 4).

Regarding dependent claim 17, Kahan taught a method wherein the session identifier includes a user identifier (Table 4, page 7).

Regarding dependent claim 18, Kahan taught the session identifier has an expiration time includes an expiration time for the session (Table 4, page 7).

Regarding dependent claim 19, Kahan taught the session identifier provides access to a protected domain to which the session has access authorization (2.1 Authorization domain, pages 3-4).

Regarding dependent claim 20, Kahan taught the session identifier is modified for access to a different protected domain (access rights are generated per root document, page 4).

Regarding dependent claim 21, Kahan taught the session identifier provides a key identifier for key management (2.1.2 Digital signature mechanism, page 4).

Regarding dependent claim 23, Kahan taught the access rights of the client are fully contained within the session identifier (Tables 1-3, page 5-6).

Regarding dependent claim 32, Kahan taught the authorization identifier is encoded within a session identifier which is appended to the requested (Table 3, page 6).

Regarding claim 35, Kahan taught an information system on a network (abstract, page 1), comprising:

means for receiving service requests from client and for determining whether a service request includes a session identifier, wherein communications to and from the clients are according to hypertext transfer protocol (2.3 Consultation phase, pages 5-6);

means for providing the session identifier in response to an initial service request in a session of requests (Table 1, page 5);

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means for storing, at the client, the session identifier for use in each communication to the server system (Table 1, page 5);

means for appending the stored session identifier to each of subsequent service communications from the client the server system (Table 1, page 5); and

means for servicing the subsequent service requests (Table 1, page 5).

Regarding dependent claim 36, Kahan taught the access rights of the client are fully contained within the session identifier (Table 2, page 6).

Regarding dependent claim 37, Kahan taught the means for providing the session identifier is in a server system which services the requests (2.1.1 Entities, page 4).

Regarding dependent claim 49, Kahan taught the session identifier is cryptographically generated (Table 2, page 5).

Regarding dependent claim 50, Kahan taught further comprising:  
returning a response to the client, the response redirecting an initial service request to an authentication server, the authentication server providing the session identifier (2.3 Consultation phase, last 2 paragraphs, pages 5-6).

Regarding dependent claim 51, Kahan taught wherein the session identifier is appended to at least one path name in a document returned by the server system (2.3 Consultation phase, capability included in request for root document, page 6, documents are accessed by URLs, page 8).

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Regarding dependent claim 52, Kahan taught the at least one path name is a link in the returned document (2.3 Consultation phase, document structure includes access to other content, page 5).

Regarding dependent claim 53, Kahan taught the link is an absolute link (documents addressed by URLs, page 8).

Regarding dependent claim 54, Kahan taught the link comprises a uniform resource locator (documents addressed by URLs, page 8).

Regarding dependent claim 56, Kahan taught the session identifier is cryptographically generated (digital signature, Table 2, page 6).

Regarding dependent claim 57, Kahan taught the session identifier is directed to an accessible domain (2.1.1 Entities, page 4).

Regarding dependent claim 58, Kahan taught the session identifier includes an expiration time for the session (Table 2, page 6).

Regarding dependent claim 59, Kahan taught the session identifier comprises a date (Table 2, page 6).

Regarding dependent claim 60, Kahan taught the session identifier comprises a key identifier (digital signature, Table 2, page 6).

Regarding dependent claim 61, Kahan taught the session identifier comprises an address of the client (Table 3, page 6).

Regarding dependent claim 62, Kahan taught the session identifier comprises an unforgeable digital signature (Table 2, page 6).

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Regarding dependent claim 63, Kahan taught the authorization identifier is provided by an authentication server (Table 1, page 5).

Regarding dependent claim 67, Kahan taught the session identifier is designated by the server system (2.1.1 Entities, page 4), further comprising the steps of:

validating, at the server system, the appended session identifier (Table 1, page 5); returning a controlled document if the appended session identifier is valid (2.3 Consultation phase, 2<sup>nd</sup> to last paragraph, page 5).

Regarding dependent claim 75, Kahan taught the session identifier facilitates authenticated accesses across multiple servers (2.1.1 Entities, page 4).

Regarding claim 79, Kahan taught a method of processing service requests from a client to a server system through a network (abstract, page 1),

forwarding the service request from the client to the server system, wherein the communications between the client and server system are according to hypertext transfer protocol (abstract, page 1);

returning a session identifier from the server system to the client, the client storing the session identifier for use in subsequent communications (Table 4);

at the client, appending as part of a path name in a uniform resource locator the stored session identifier to each subsequent service request from the client to the service system within a session requests (client includes capability in request, 2.3 Consultation phase, pages 5-6).

Regarding dependent claim 101, Kahan taught the session identifier is appended by the client (client includes capability in request, 2.3 Consultation phase, pages 5-6).



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Regarding dependent claim 102, Kahan taught the session identifier is cryptographically generated (Table 2, page 6).

Regarding dependent claim 104, Kahan taught the document is returned electronically (2.3 Consultation phase).

Regarding dependent claim 106, Kahan taught the authorization identifier is appended to a uniform resource locator (client includes capability in request, 2.3 Consultation phase, pages 5-6).

Regarding claims 112-115, the language of claims 112-115 is substantially the same as previously rejected claims 3, 5-6, 13-15, 17-21, 23, 32, 35-38, 49-54, 56-63, 67-75, 77, 79-93. Therefore, claims 112-115 are rejected on the same rationale as claims 3, 5-6, 13-15, 17-21, 23, 32, 35-38, 49-54, 56-63, 67-75, 77, 79-93.

***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claims 7-12, 22, 24-26, 31, 33-34, 39-43, 55, 76, 78, 108-111 are rejected under 35 U.S.C. 103(a) as being unpatentable Kahan in view of Filepp et al., U.S. Patent No. 5,347,632 (hereafter referred to as Filepp).

Regarding dependent claim 7, Kahan does not specifically teach the server system recording a transaction log. However, Filepp taught a method wherein the server system records information in a transaction log in the server system (col. 93, lines 28-30).

Regarding dependent claim 8, Kahan does not specifically teach the server tracking the access history of the session. However, Filepp taught a server system that tracks the access history of sequences of service requests within a session of requests (col. 93, lines 16-24).

Regarding dependent claim 9, Kahan does not specifically teach the server system tracking the access history to determine requests leading to purchases. However, Filepp taught the server system tracking the access history to determine requests leading to purchases (within usage characteristics, col. 93, lines 28-30).

Regarding dependent claim 10, Kahan does not specifically teach a server system counting the requests. However, Filepp taught a server system counts requests

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to particular services exclusive of repeated requests from a common client (col. 93, lines 28-34).

Regarding dependent claim 11, Kahan does not specifically teach a database relating customer information to access patterns. However, Filepp taught the server system maintains a database relating customer information to access patterns (col. 93, lines 28-43).

Regarding dependent 12, Kahan does not specifically teach information that includes customer demographics. However, Filepp taught wherein the information includes customer demographics (col. 9, lines 38-44).

Regarding dependent claim 22, Kahan does not specifically teach a transaction log in the server system. However, Filepp taught a method wherein the server system records information from the session identifier in a transaction log in the server system (col. 93, lines 27-47).

Regarding dependent claim 24, Kahan taught a service request is for a document (2.3 Consultation phase, page 5) and the session identifier includes user identification (Table 4, page 7), further comprising:

returning the requested document (2.3 Consultation phase, page 5). Kahan does not specifically teach wherein the document is customized for a particular user based on the user identification of the session identifier. However, Filepp taught the document is customized for a particular user based on the user identification of the session identifier (col. 9, lines 27-47).

Regarding dependent claim 25, Kahan taught a service request is for a document, the session identifier comprises an authorization identifier (Table 3-4, pages 6-7), and further comprising:

returning the requested document if the authorization identifier indicates that the user is authorized to access the document (2.3 Consultation phase, page 5). Kahan does not specifically teach a document which has been purchased by the user. However, Filepp taught a document which has been purchased by the user (col. 6, lines 45-51, 56-60)

Regarding dependent claim 26, Kahan taught a service request is for a document wherein the session identifier comprises a user identifier (Table 4, page 7), further comprising:

returning the requested document to the client (2.3 Consultation phase, page 5). Kahan does not specifically teach charging the user identified in the identifier for access to the document. However, Filepp taught charging the user identified in the identifier for access to the document (col. 6, lines 57-61).

Regarding dependent claim 31, Kahan taught at least one service request comprises a document request, wherein the session identifier comprises an authorization identifier (Table 3-4, pages 6-7), the method further comprising:

returning the requested document if the authorization identifier indicates the user is authorized to access the document (2.3 Consultation phase, page 5). Kahan does not specifically teach a document which has been purchased by a user. However, Filepp taught a document which has been purchased by a user (col. 6, lines 45-51, 56-60).

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Regarding dependent claim 33, Kahan taught at least one service request comprises a request for a document, wherein the session identifier is designated by the server system, said method comprising:

returning the requested document to the client (2.3 Consultation phase, page 5).

Kahan does not specifically teach charging the user identified in the session identifier for access to the document. However, Filepp taught charging the user identified in the session identifier for access to the document (col. 6, lines 57-61).

Regarding dependent claim 34, Kahan taught a user identifier is encoded within a session identifier which is appended to the request (Table 4, page 7).

Regarding dependent claim 55, Kahan does not specifically teach the step of appending the session identifier comprises filtering the requested document. However, Filepp taught filtering the requested document (filtering by providing customized advertisements, col. 9, lines 38-44)

Regarding dependent claim 76, Kahan does not specifically teach the document is customized for a particular based on user identification of the session identifier. However, Filepp taught the document is customized for a particular based on user identification of the session identifier (col. 9, lines 27-47).

Regarding dependent claim 108, Kahan does not specifically teach purchasing a product. However, Filepp taught a service request is a request to purchase a product (col. 6, lines 45-51).

Regarding dependent claim 109, Filepp taught the product is transmitted over a network (col. 6, lines 45-51, 56-60).

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Regarding dependent claim 110, Filepp taught the product is a newspaper/ newsletter article (col. 6, lines 45-51, 56-60).

Regarding dependent claim 111, Filepp taught the product is a durable product (col. 6, lines 56-60).

As to dependent claims, it would have been obvious to one of ordinary skill in the art at the time the invention was made that incorporating Filepp's features in Kahan's authorization system would have improved system flexibility. The motivation would have been to adapt Kahan's distributed authorization system to the individual needs of the potential users.

7. Claim 16 is rejected under 35 U.S.C. 103(a) as being unpatentable over in view of Johnson et al., U.S. Patent No. 5,560,008 (hereafter referred to as Johnson).

Regarding dependent claim 16, Kahan does not teach another method of redirecting. However, Johnson taught a method wherein a client directs a service request to a first server which is to provide the requested service;

the first server checks the service request for a session identifier (credential id) and only services a request having a valid session identifier (credential id),

and where the service request has no valid identifier, the first server redirects the service request from the client to the authorization server (authentication agent);

the authorization server (authentication agent) subjects the client to the authorization routine and issues the session identifier (credential id) to be appended to the service request to the first server;

the client forwards the service request appended with the session identifier (credential id) to the first server;

the first server recognizes the session identifier (credential id) and services the service request to the client; and,

the client appends the session identifier (credential id) to subsequent service requests to the server system and is serviced without further authorization. Benson does not specifically teach an authorization server. However, Kahan taught a client, a first server, and an authorization server (Figure 2, col. 5). It would have been obvious to one of ordinary skill in the art at the time the invention was made that incorporating Johnson's redirecting mechanism to subsequent requests in Kahan distributed authorization system would have improved system transparency. The motivation would have been to alleviate the user from having to remember which documents require access rights and which documents do not.

8. Claims 96-98, 100, 103 and 105 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kahan in view of Dedrick, U.S. Patent No. 5,768,521 (hereafter referred to as Dedrick).

Regarding dependent claim 96, Kahan does not specifically teach how a user is charged. However, Dedrick taught servicing a request (col. 3, lines 50-56); and automatically charging a user identified by the session identifier for the service provided (col. 3, lines 60-63).

Regarding dependent claim 97, Kahan does not specifically teach a purchase request. However, Dedrick taught at least one service request comprises a purchase

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request (review of the request indicates the user is not a subscriber), the purchase request including an associated user identifier (request includes information identifying whether the user is a subscriber), the method further comprising: accessing, upon receipt of the purchase request at the server system, user information associated with the user identifier sufficient to charge an account associated with the user the purchase price of the product identified by the purchase request (col. 3, lines 31-41, 60-63);

charging the user for the product identified by the purchase request according to the user information (col. 7, lines 29-35); and

fulfilling the purchase request based on the user information (col. 7, lines 35-37).

Regarding dependent claim 98, Kahan taught the client includes the user identifier in a session identifier (Table 4, page 7) and taught the session identifier appended to the request (2.3 Consultation phase, page 5). Kahan does not specifically teach the request is a purchase request. However, Dedrick taught the request is a purchase request (col. 7, lines 32-37)

Regarding dependent claim 100, Kahan does not specifically teach how a purchasing request. However, Dedrick taught under control of a client system,

displaying information identifying a product (col. 7, lines 18-23); and

in response to a user selection of a hyperlink (inherent, information distributed according to hypertext markup language, col. 4, lines 36-38) associated with a product desired to be purchased, sending a request to purchase the item along with an identifier of a purchaser of the item to a server system (id whether client is a subscriber, col. 7, lines 18-26); and



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under the control of the server system, upon receiving the request, retrieving additional information previously stored for the purchaser identified by the identifier in the received request (retrieving profile containing account information, col. 3, lines 31-41, 60-63);

charging the user the purchase price of the product (metering server debits the user account, col. 7, lines 32-37); and

fulfilling the request for the product (sending information, col. 7, lines 32-37).

Regarding dependent claim 103, Kahan does not specifically teach how a user is charged. However, Dedrick taught identifying the user from the authorization identifier (identifying subscriber authorization, col. 3, lines 50-56); and

automatically charging the identified user for the document (col. 3, lines 60-63).

Regarding dependent claim 105, Kahan does not specifically teach a physical copy of the document is sent. However, Dedrick taught a physical copy of the document is sent (through the purchasing options the user is able to retrieve requested information by printing, i.e. physical copy, col. 3, lines 25-27).

Regarding claims 96, 97, 100, 103, 105, it would have been obvious to one of ordinary skill in the art at the time the invention was made that incorporating Dedrick's metering mechanisms for charging users for electronic information in Kahan's distributed authorization system would have extended the system to incorporate more mechanism to provide a better interactive environment. The motivation would have to provide a mechanism to allow a system to automatically debit and bill a user for

consuming requested electronic information from the web database (Dedrick, col. 1, lines 54-56).

**Statements concerning the remaining claims**

The language of claims 38-43 is substantially equivalent to the language of previously rejected claims 14, 7-8, 10-12. Therefore, claims 38-43 are rejected on the same rationale as claims 14, 7-8, 10-12, respectively.

The language of claims 68-74 is substantially equivalent to the language of previously rejected claims 56-62. Therefore, claims 68-74 are rejected on the same rationale as claims 56-62, respectively.


The language of claims 77-78 is substantially equivalent to the language of previously rejected claims 51 and 55. Therefore, claims 77-78 are rejected on the same rationale as claims 51 and 55, respectively.

The language of claims 80-93 is substantially equivalent to the language of previously rejected claims 49-62. Therefore, claims 80-93 are rejected on the same rationale as claims 49-62, respectively.

9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Patrice Winder whose telephone number is 703-305-3938. The examiner can normally be reached on Monday-Friday, 10:30 am-7:00 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hosain Alam can be reached on 703-308-3662. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

  
Patrice Winder  
Primary Examiner  
Art Unit 2155

plw